IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:	
MENDOZA, Edgar A.	**Group Art Unit:** 2874
Serial No.: 09/941,349	**Examiner:** H. Sanghavi
Confirmation No.: 9934	
Filed: August 28, 2001	
For: INTEGRATED OPTIC DEVICES AND PROCESSES FOR THE FABRICATION OF INTEGRATED OPTIC DEVICES	

INFORMATION DISCLOSURE STATEMENT

Mail Stop RCE
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with 37 CFR §§ 1.97 and 1.98, the items identified in the Information Disclosure Statement ("IDS") are brought to the attention of the Office. The items are listed on the attached form PTO-1449. Applicant respectfully requests that a copy of the Form PTO-1449, as considered and initialed by the Examiner, be returned with the next communication.

The items identified in the IDS may or may not be "material" pursuant to CFR § 1.56. The submission thereof by Applicant is not to be construed as an admission that any such patent, publication or other information referred to therein is material or considered to be material (37 CFR §1.97(h)), or even qualifies as "prior art" under 35 USC § 102 with respect to this invention unless specifically designated by Applicant as such.

CERTIFICATE OF MAILING
(37 C.F.R. § 1.8(a))

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as First Class Mail in an envelope addressed to the Mail Stop RCE, Commissioner for Patents, P.O. Box 1450, Alexandria, VA, 22313-1450.

May 25, 2004
Date of Deposit

Carolyn L. Evans
Name of Person Mailing Paper

Carolyn L. Evans
Signature of Person Mailing Paper

In accordance with 37 CFR 1.97(g), the filing of the Information Disclosure Statement shall not be construed to mean that a search has been made or the no other material information, as defined in 37 CFR 1.56, exists.

With the exception of Items AT, CI, and CJ, the patents, publication and other information disclosed in the attached PTO Form 1449 were previously cited by or submitted to the Office in one of the following applications on which this application relies for an earlier filing date under 35 U.S.C. § 120: U.S. Patent Application Serial No. 09/574,840, filed on May 19, 2000, and U.S. Patent Application Serial No. 09/574,841, filed on May 19, 2000. Accordingly, except for Items AT, CI, and CJ, copies of the patents, publications, and other information listed on the attached PTO Form 1449 are not enclosed.

INFORMATION DISCLOSURE STATEMENT FILING PROVISION:

☒ This IDS is believed to be timely in that it is being submitted under 37 CFR § 1.97(b), that is (1) within three months of the filing date of the application, which is not a continued prosecution application filed under § 1.53(d); or (2) within three months of entry of the national stage as set forth in 37 CFR § 1.491; or (3) before the mailing of a first Office Action on the merits; or (4) before the mailing of a first Office Action after filing a request for continued examination under § 1.114. Thus, no fee is required.

☒ However, if the undersigned is in error in this regard, Applicant respectfully requests that the Office consider this IDS as filed under 37 CFR § 1,97(c), if applicable, and charge the fee due under 37 CFR §. 1.17(p) to the deposit account referenced below.

☐ However, if the undersigned is in error in this regard, Applicant respectfully requests that the Office consider this IDS as filed under 37 CFR § 1.97(c), if applicable, and a statement under 37 CFR § 1.97(e) is included below, thus no fee is required.

☐ This IDS is being submitted under 37 CFR § 1.97(c), that is after mailing of a first Office action on the merits, but before a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311.

☐ The fee due under 37 CFR § 1.17(p) is submitted herewith.

☐ A statement under 37 CFR § 1.97(e) is included below, thus no fee is required. In the event that this IDS is not received before a Final Action or a Notice of Allowance, then Applicant respectfully requests that the Office consider the filing of these papers to be submitted under 37 CFR § 1.97(d) and charge the fee due under 37 CFR § 1.17(p) to the deposit account below.

☐ This IDS is being submitted under 37 CFR § 1.97(d), that is after a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311, but before payment of the issue fee. A statement under 37 CFR § 1.97(e) is included below. The fee due under 37 CFR § 1,17(p) is submitted herewith.

STATEMENT UNDER 37 CFR § 1.97(e):

☐ Each item contained in this IDS was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this IDS.

☐ No item contained in the IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this statement after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 37 CFR § 1.56(c) more than three moths prior to the filing of this IDS.

PAYMENT AND/OR AUTHORIZATION TO CHARGE FEES:

☐ A check in the amount of _____ is enclosed for the above fee(s).

☐ Please charge _____ to Deposit Account No. 50-2468 for the above fee(s).

The Commissioner is authorized to charge any fees required by the filing of these papers, and to credit any overpayment to Jones Day's Deposit Account No. 50-2468.

Respectfully submitted,

JONES DAY

Dated: May 25, 2004

By: _____
David A. Randall
Reg. No. 37,217

Jones Day
555 West Fifth Street, Suite 4600
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Tel: (213) 489-3939
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 5

Complete if Known	
Application Number	09/941,349
Filing Date	August 28, 2001
First Named Inventor	Mendoza, Edgar A.
Art Unit	2874
Examiner Name	Sanghavi, Hemang
Attorney Docket Number	265/225

U.S. PATENT DOCUMENTS

Examiner initials*	Cite No.[1]	Document Number Number-Kind Code[2] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant figures Appear
	AA	US-4,725,110	02/16/1988	Glenn et al.	
	AB	US-5,080,503	01/14/1992	Najafi et al.	
	AC	US-5,080,962	01/14/1992	Hench	
	AD	US-5,151,958	09/29/1992	Honkanen	
	AE	US-5,265,185	11/23/1993	Ashley	
	AF	US-5,360,834	11/01/1984	Popall et al.	
	AG	US-5,574,807	11/12/1996	Snitzer	
	AH	US-5,620,495	04/15/1997	Aspell et al.	
	AI	US-5,585,640	12/17/1996	Huston et al.	
	AJ	US-5,972,516	10/26/1999	Kanacko et al.	
	AK	US-6,054,253	04/25/2000	Fardad et al.	
	AL	US-6,103,363	08/152000	Boire et al.	
	AM	US-6,115,518	09/05/2000	Calpp	
	AN	US-6,158,245	12//12/2000	Savant	
	AO	US-6,268,089	07/31/ 2001	Chandross et al.	
	AP	US-2001/0031122	10/18/2001	Lackritz et al.	
	AQ	US-2001/0041025	11/15/2001	Farahi, Faramarz	
	AR	US-2001/0047665 A1	12/06/2001	Zhang et al.	
	AS	US-6,368,775 B1	04/09/2002	Potter et al.	
	AT	US-2003/0210881-A1	11/13/2003	Mendoza, et al.	

FOREIGN PATENT DOCUMENTS

Examiner initials*	Cite No.[1]	Foreign Patent Document Country Code[3]Number[4]Kind Code[5] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant figures Appear	T[6]
	AU	03-013907 A	01/22/1991	Sanako		
	AV	WO 99/06873 – PCT/US	02/11/1999	Lieberman et al.		
	AW	2,218,273 – CA	04/10/1999	Farfad et al.		

Examiner Signature		Date Considered	

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application. [1]Applicant's unique citation designation number (optional). [2] See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. [3] Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). [4] For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. [5] Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. [6] Applicant is to place a check mark here if English language Translation is attached.

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Examiner Name	Sanghavi, Hemang
Attorney Docket Number	265/225

Sheet	2	of	5

NON PATENT LITERATURE DOCUMENTS

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	AX	Mendoza E.A., Ferrell D.J., Syracuse S.J., Khalil A.N., Lieberman R.A., "Photolithography of Integrated Optice Devices in Sol-Gel Glasses," Proc. SPIE-Int. Soc. Opt. Eng., Vol. 2288, pp. 580-588 (1994)	
	AY	Najafi, S.I., Touam T., Sara R., Andrews M.P., Fardad M.A., "Sol-Gel Glass Waveguide and Grating on Silicon," Journal of Lightwave Technology, Vol. 16, No. 9 (1998)	
	AZ	McEntee J. "Sol-Gel Devices 'will meet cost targets of fibre to the home'," Opto & Laser Europe, Issue 31, p. 5 (1996)	
	BA	Coudray, P., Chisham, J., Malek-Tabrizi, A., Li, C.-Y., Andrews, M.P., Peyghambarian, N., Najafi, S.I., "Ultraviolet Light Imprinted Sol-Gel Silica Glass Waveguide Devices on Silicon," Optics Comm., 128(1-3) 19-22 (1996).	
	BB	Coudray, P., Chisham, J., Andrews, M.P., Najafi, S.I., "Ultraviolet Light Imprinted Sol-Gel Silica Glass Low-Loss Waveguides For Use At 1.55 μm," Opt. Eng. 36(4) 1234-1240 (1997)	
	BC	Fardad, A., Andrews, M., Milova, G., Malek-Tabrizi A., Najafi, I., "Fabrication of Ridge Waveguides:: A New Solgel Route," Applied Optics, Vol. 37, No. 12., pp. 2429-2434 (1998)	
	BD	Najafi, S.I., Armenise, M.N., "Organoaluminophosphate sol-gel silica glass thin films for integrated optics," Proc. SPIE-Int. Soc. Opt. Eng., Vol. 2997 pp. 79-84 (1997)	
	BE	Cindrich I., Lee, S.H., Sutherland, R. L., "Adapting Existing E-Beam Writers to Write HEBS-Glass Gray Scale Masks," Proc. SPIE-Int. Soc. Opt. Eng., Vol. 3633 pp. 35-45 (1999),	
	BF	Kley, E-B., "Continuous Profile Writing by Electron and Optical Lithography," Microelectronic Engineering, 34 pp. 261-298 (1997)	
	BG	Syms, R.R.A., "Silica-On Silicon Integated Optics," Advances in Integrated Optics, pp. 121-150 (1994)	
	BH	Najafi, S.I., Andrews, M.P., Fardad, M.A., Milova, G., Tahar, T., Coudray, P., "UV-Light Imprinted Surface, Ridge and Buried Sol-Gel Glass Waveguides and Devices on Silicon," Proc. SPIE-Int. Soc. Opt. Eng., Vol. 2954 pp. 100-104 (1996)	

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First Named Inventor	MENDOZA, Edgar A.
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Examiner Name	Sanghavi, Hemang
Attorney Docket Number	265/225

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.[1]	Include name of author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T[2]
	BI	Holmes, A.S., Syms, R.R.A., "Fabrication of Low-Loss Channel Waveguides in Sol-Gel Glass on Silicon Substrates," Advanced Materials in Optics, Electro-Optics and Communication Technologies (1995)	
	BJ	Holmes, A.S., Syms, R.R.A., Li, M., Green M., "Fabrication of Buried Channel Waveguides on Silicon Substrates Using Spin-On Glass," Applied Optics, Vol. 32, No. 25 pp. 4916-4921 (1993)	
	BK	Kawachi, M., "Silica Waveguides on Silicon and Their Application to Integrated-Optic Components," Optical and Quantum Electronics, Vol. 22, No. 5, pp. 391-416 (1990)	
	BL	Ballato, J., Dejneka, M., Riman,R.E., Snitzer, E., Zhou, W., "Sol-Gel Synthesis of Rare-Earth-Doped Fluoride Glass Thin Films," Journal of Materials Research, Vol. 11, No. 4., pp. 841-849 (1996)	
	BM	Yang, L., Saavedra, S.S., Armstrong, N.R., Hayes, J., "Fabrication and Characterization of Low-Loss, Sol-Gel Planar Waveguides," Anal. Chem. Vol. 66, No. 8, pp. 1254-1263 (1994)	
	BN	Schmidt, H., "Thin Films, the Chemical Processing up to Gelation," Structure and Bonding, Vol. 77, pp. 119-151 (1992)	
	BO	Chisham, J.E., Andrews, M.P., Li, C.-Y., Najafi, S.I., Makek-Tabrizi, A., "Gratings Fabrication by Ultraviolet Light Imprinting and Embossing in a Sol-Gel Silica Glass," Proc. SPIE-Int. Soc. Opt. Eng., Vol. 2695, pp. 52-56 (1996)	
	BP	Svalgaard, M., Poulsen, C.V., Bjarklev A., Poulsen, O., "Direct UV Writing of Buried Singlemode Channel Waveguides in Ge-Doped Silica Films," Electronic Letters, Vol. 30, No. 17, pp. 1401-1403 (1994)	
	BQ	Andrews, M.P., Kanigan T., Najafi, S.I., "Auto-Embossed Bragg Gratings From Self-Organizing Polymers: Chemical Tuning of Periodicity and Photoinduced Anisotropy," Proc. SPIE-Int. Soc. Opt. Eng., Vol. 2695, pp. 4-15 (1996)	
	BR	Najafi, S. I., Li, C.-Y., Chisham, J., Andrews, M.P., Coudray, P., Malek-Tabrizi, A., Peyghambarian, N., "Ultraviolet Light Imprinted Sol-Gel Silica Glass Channel Waveguides on Silicon," Proc. SPIE-Int. Soc. Opt. Eng., Vol. 2695, pp. 38-41 (1996)	
	BS	Brinker, C.J., Scherer, G.W., "The Physics and Chemistry of Sol-Gel Processing," Sol-Gel Science, Academic Press, Inc. pp. 864-1879.	

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First Named Inventor	MENDOZA, Edgar A.
Art Unit	2874
Examiner Name	Sanghavi, Hemang
Attorney Docket Number	265/225

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	BT	Li, C.-Y., Chisham, J., Andrews, M., Najafi, S.I., Mackenzie, J.D., Peyghambarian, N., "Sol-Gel Integrated Optical Coupler by Ultraviolet Light Imprinting," Electronic Letters, Vol. 31, No. 4, pp. 271-272 (1995)	
	BU	Andrews, M.P., "An Overview of Sol Gel Guest-Host Materials Chemistry for Optical Devices," Proc. SPIE-Int. Soc. Opt. Eng., Vol. 2997, pp. 48-59 (1997)	
	BV	Rösch, O.S., Bernhard, W., Müller-Fiedler, R., Dannberg, P., Bräuer, A., R. Buestrich, R., Popall, M., "High Performance Low Cost Fabrication Method for Integrated Polymer Optical Devices," Proc. SPIE-Int. Soc. Opt. Eng., Vol. 3799, pp. 214-224	
	BW	Roscher, C., Buestrich R., Dannberg, P., Rösch, O., Popall, M., "New Inorganic-Organic Hybrid Polymers for Integrated Optics," Mat. Res. Soc. Symp. Proc. Vol. 519, pp. 239-244 (1998)	
	BX	Mendoza, E.A., "Photolithography of Integrated Optic Devices in Porous Glasses," UMI Dissertation Services (1992)	
	BY	Mendoza, A., Wolkow, E., Sunil, D., Wong, P., Sokolow, J., Rafailovich, M., den Boer, M., Gafney, H., "A Comparison of Iron Oxides Photodeposited in Porous Vycor Glass and Tetramethoxysilane/Methanol/Water Xerogels," Langmuir, Vol. 7, No. 12, pp. 993-4009 (1991)	
	BZ	Che, T., Soskey, P., Banash, M., Caldwell, M., McCallum, I., Mininni, R., Warden, V., "Optimization of a Gel Derived Gradient Index Material," Proc. SPIE-Int. Soc. Opt. Eng., Vol. 1758, pp. 193-204 (1992)	
	CA	Gafney, H., "A Photochemical Approach to Integrated Optics," J. Macromol. Sci.-Chem. Vol. A27(9-11), pp. 1187-1202 (1990)	
	CB	Simmons, K., Stegeman, G., Potter, B., Simmons, J., "Photosensitivity of Solgel-Derived Germanoscilicate Planar Waveguides," Optics Letters, Vol. 18, No. 1, pp. 25-27 (1993)	
	CC	Mendoza, E., Gafney, H., "Photolithography of Integrated Optic Devices in Porous Glasses," Nonlinear Optical Materials, CRC Press, eds. Kuhn, H., Robillard, J., Part V, pp. 178-191 (1992)	

Examiner Signature		Date Considered	

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This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORM TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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	CD	Mendoza, E., Gafney, H., "Photolithographic Imaging of Planar Optical Waveguides and Integrated Optic Devices Onto Porous Silicate Glasses and Silica Sol-Gels," Mat. Res. Soc. Symp. Proc., Vol. 244, pp. 343-350 (1992)	
	CE	Mendoza, E., Gafney, H., Morse, David, "Photolithographic Processing Of Integrated Optic Devices In Glasses," SPIE Vol. 1583 Integrated Optical Circuits, pp. 43-51 (1991)	
	CF	Mendoza, E., Gafney, H., Morse, D., "The Photochemical Generation of Gradient Indices in Glass," SPIE Vol. 1378 Optically Activated Switching, pp. 139-144 (1990)	
	CG	Wolkow, E., Gafney, H., Wong, P., Hanson, A., "Highly Resolved Gradient Patterns in Glass by Means of Chemical Vapor Deposition," Mat. Res. Soc. Symp. Proc. Vol. 168, pp. 381-393 (1990)	
	CH	Mendoza, E., Ferrell, D., Lieberman, R., "Photolithography of Bragg Gratings in Sol-Gel Derived Fibers," SPIE Vol. 2288 Sol-Gel Optics III, pp. 621-629 (1994)	
	CI	U.S. Patent Application Serial No. 09/574,841, filed May 19, 2000, "Thin Film Sol-Gel Derived Glass"; Inventor: Mendoza, Edgar A.	
	CJ	Amendment to U.S. Patent Application Serial No. 09/574,840, filed May 19, 2000, "Thermally-Assisted Photolithographic Process Using Sol-Gel Derived Glass and Products Made Thereby"; Inventors: Mendoza, Edgar A., Kempen, Lothar U., Lieberman, Robert A.	

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